

## Plaintiff's Deposition Exhibit 38



HUMAN RESOURCES AND EQUAL OPPORTUNITY AND COMPLIANCE  
Human Resources

### SHRA Performance Appraisals & Management

The overall success of the University relies on the individual accomplishments of all faculty and staff. The performance management program provides a mechanism for communicating performance expectations and evaluating achievements. All permanent University staff are evaluated annually on their performance.

#### Performance Plans & Appraisals

Performance appraisal information is one consideration in making other personnel decisions such as promotions, disciplinary actions, layoff determinations, and salary increases. Therefore, proper implementation of the performance management system essential in the effective application of other personnel policies.

### Details & Timeline

- The annual performance cycle runs from April 1 to March 31.
- Performance Plans must be issued within 60 calendar days of the start of the cycle or the employee's start date.
- The employee's Performance Plan contains Individual Goals for the employee set by the supervisor and Institutional Goals set by UNC General Administration.

As part of the career banding system for SHRA permanent employees, supervisors must also conduct an annual employee competency assessment (ECA) along with the annual performance appraisal.

### Annual Performance Appraisal

- The supervisor completes an annual appraisal for each SHRA employee prior to April 30.
- All ratings are on a three-point scale:
  - Exceeding Expectations
  - Meeting Expectations
  - Not Meeting Expectations
- The supervisor is required to provide written overall comments on each appraisal explaining the ratings given.
- The second-level supervisor of the employee is required to review the Performance Plan and the annual appraisal before they are issued to the employee.

## Mid-Cycle Reviews

- The supervisor must hold a mid-cycle review in October for employees who received a rating of Not Meeting Expectations on **any** individual rating on their last annual performance appraisal.
- Departments are allowed to require mid-cycle reviews for employees within the department.

## Probationary Employees

- The supervisor is required to document performance quarterly (July, October and January) with probationary employees.
- Written comments are required. It is recommended to highlight where the employee is exceeding or not meeting expectations.
- Overall ratings are not required.
- If the employee has been employed with the State for at least 6 months, an annual appraisal is required in April with full ratings and written comments.
  - If the employee has been employed with the State for less than 6 months, the supervisor is required to do an off-cycle review.

## Performance Management Forms

Performance Management actions are now performed in Carolina Talent.

For additional Performance Management guidance tools, please see the **Manager Toolkit**.

Performance Plans

### Performance Plan Components

- Supervisor provides each employee a performance plan within the first 60 calendar days of the performance cycle. The meeting is called a performance planning conference.
- The performance plan contains three parts:
  - **Institutional goals**
  - **Individual goals**
  - **Developmental goals**
- Employees will be rated at the end of the cycle based on the performance plan.

### Institutional Goals

- General Administration has established five institutional goals that apply to every SHRA employee
  - Expertise
  - Accountability
  - Customer-Oriented
  - Team-Oriented
  - Compliance & Integrity
- There is an additional institutional goal for supervisors regarding their supervisory responsibilities.
  - Supervision
- The supervisor will rate the employee's overall performance and work product using these expectations.

## Individual Goals

The supervisor writes three to five strategic individual performance goals for each employee and provides clarity on what level of performance constitutes meeting performance expectations.

## Talent Development Plan

- The University recommends that each employee have at least one developmental goal each performance cycle.
- The supervisor determines with the employee the appropriate developmental goal for the cycle.
- The supervisor must set a Corrective Action Plan to address performance deficiencies for employees who received a rating of Not Meeting Expectations on an individual performance goal or organizational value or received an overall rating of Below Good or Unsatisfactory on their last performance appraisal.

## Viewing Performance Ratings

The University uses ConnectCarolina to collect overall performance and competency ratings for employees. If you are an SHRA permanent employee, you can see your overall performance and competency ratings in ConnectCarolina.

Step-by-step guide to viewing ratings:

- **English**
- **Spanish**
- **Burmese**
- **Karen**

Contact Employee & Management Relations

For additional assistance, contact the **Employee & Management Relations Consultant** in the Office of Human Resources assigned to work with your department.